

State of Arizona Multi-Vendor Electronic Case Filing Specification Summary

Introduction

This document describes, in a summary format, the application of LegalXML/Electronic Court Filing (ECF) 4.01 in the Arizona Courts' environment as defined by the Arizona Administrative Office of the Courts, Information Technology Division (AZ AOC ITD).

Scope of Document

This document applies only to public-to-court, attorney-to-court, and judge-to-court electronic filing of documents related to court cases. It does not apply to any court-to-court filings or records transfers.

Background

The Arizona Courts' standard for multi-provider electronic case filing is LegalXML Electronic Court Filing (ECF) 4.01, modified as described within this document. ECF is based on national information exchange standards utilizing relevant portions on the Global Justice XML Data Model (GJXDM) and the National Information Exchange Model (NIEM). The complete ECF 4.01 specification is available from <http://docs.oasis-open.org/legalxml-courtfilingspecs/ecf/v4.01/ecf-v4.01-spec/errata02/os/ecf-v4.01-spec-errata02-os.html>. ECF 4.01 is a technical architecture that defines a set of functional features needed to accomplish electronic filing in a court, defining both normative (required) and non-normative (optional) business processes. The use of ECF 4.01 standardizes the data descriptions, definitions, and transport methods used by all eFiling system vendors and other filers when communicating electronic filings to Arizona courts.

ECF 4.01 defines and describes:

1. Message structures or specific actions in three types:
 - a. Core messages which apply to all case classifications at all courts,
 - b. Case-classification-specific messages that apply to a single supported type.
2. Messaging profile specifications defining communications infrastructures within which electronic filing transactions can take place.
3. Document signature profile specifications that define mechanisms for stating or assuring that a person signed a particular document.
4. Court Policy, which specifies information about a court's practices including local variations. Both human-readable and machine-readable documents are required.

Architecture Detail

The ECF 4.01 architecture consists of four Major Design Elements (MDEs) which support operations and messages. An MDE is a logical grouping of operations, such as the operations involved in creating a filing or the operations involved in receiving and recording a filing; that is, incorporating the constituent documents in a court electronic document management system. A message is the data exchanged between MDEs in the form of an XML document that may include one or more additional Base64-encoded binary attachments. These messages contain the information to be filed with the court.

The ECF 4.01 specification defines four MDEs as follows:

Filing Assembly MDE – enables a filer to create a filing message for submission to a court, and for service on other parties in the case, returning a response from the court to the filer.

Filing Review MDE – enables a court to receive and review a filing message and prepare the contents for recording in its case management and document management systems, sending a response concerning the filing to the Filing Assembly MDE. The Filing Review MDE also enables filers to obtain court-specific policies regarding electronic filing and to check on the status of a filing.

Court Record MDE – enables a court to record electronic documents and docket entries in its case management and document management systems and returns the results to the Filing Review MDE. The Court Record MDE also enables filers to obtain service information for all parties in a case, to obtain information about cases maintained in the court’s docket, register of actions and calendars, and to access documents maintained in the court’s electronic records.

Legal Service MDE – enables a party to receive service electronically FROM other parties in the case. Note that service TO other parties in the case is performed by the Filing Assembly MDE.

The Filing-Preparation-to-Docketing Process Model

Figure 1, below, graphically displays all MDE types contained in ECF 4.01, the methods supported by each MDE, and the methods used by each MDE to send and receive information. Bold items in the diagram are required by ECF 4.01 for compliance, but not all are currently allowed in Arizona implementations.

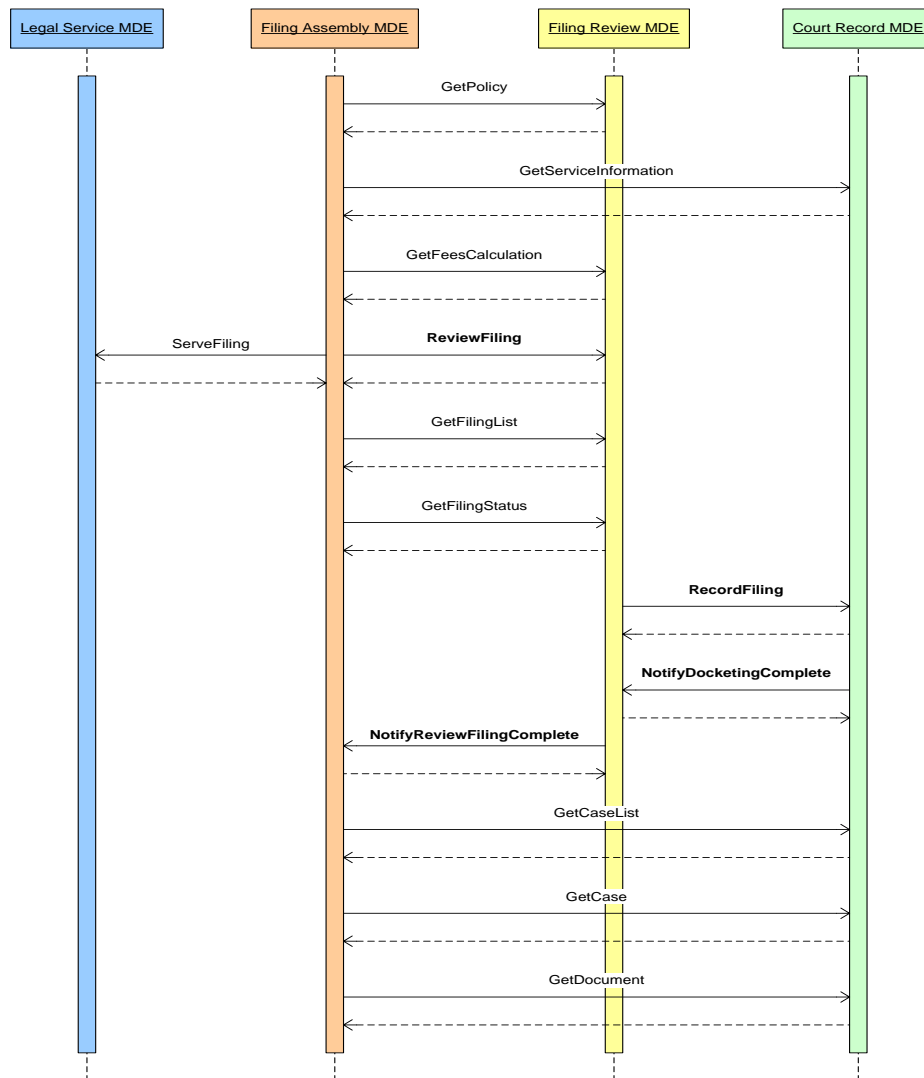


Figure 1. Filing Preparation to Docketing Cycle
 (Diagram has been extracted from the ECF 4.01 specification.)

Arizona's Approach – Using ECF 4.01

Using ECF 4.01 standardizes the data descriptions, definitions, and transport methods used by all vendors and other filers when communicating with the courts. ECF 4.01 defines 4 MDEs, however, Arizona has elected to make some required and some allowed, as noted below. Each of the MDE is designed and developed as Web Service or IBM MQ interfaces, although direct IBM MQ implementations are being replaced with Web Services. A Web Service is a program that runs on a Web Server like Microsoft IIS (ASP, ASPX), Apache, WebSphere, etc., which performs a requested action, does not have user interface (UI), and uses the HTTP protocol as

the principal communications transport protocol. In addition, a Web Service uses an application-level protocol called SOAP (Simple Object Access Protocol) to package its data requests and responses. For more information about SOAP, please see:

<http://www.w3.org/TR/soap>.

Arizona has decided to develop and implement the MDEs as follows:

Filing Assembly MDE	REQUIRED
Filing Review MDE	REQUIRED
Court Record MDE	REQUIRED
Service MDE	ALLOWED Note: Arizona's Service MDE is an offshoot of, and different from, the ECF Legal Service MDE.

Each MDE has many operations described in the ECF 4.01 specification. Arizona chooses to implement a "required" operation set as the multi-vendor implementation. The standard will be expanded over time to describe increased functionality and this document will be updated to reflect that expansion.

Filing Assembly MDE

The Filing Assembly MDE (FAMDE) enables the submission of a filing message to the court as well as a returning response from the court to the filer. Its use depends on the business requirements of the court, case type, transaction type, and AOC.

Filing Assembly MDE Operations

Operation Name	Operation Purpose	AZ Disposition
NotifyReviewFilingComplete	Notifies the Filing Assembly MDE of the result of a filing submitted in the ReviewFiling operation. The result will indicate whether the filing was accepted or rejected.	Allowed

Operation Name	Operation Purpose	AZ Disposition
GetPolicy	May be used by an FAMDE to obtain machine readable "Court Policy" describing features supported by the CRMDE implementation, the court's code lists, and any other information the Filing Assembly MDE needs to successfully eFile into that court.	Allowed
ReviewFiling	Used by a participating FAMDE to submit a new eFiling submission.	Required
GetFeesCalculation	Optionally provided for the calculation of filing fees, when a) the FAMDE is incapable of calculating filing fees using configuration/policy data and internal calculation methods or b) the filing fee calculation requirements are not well-defined or lacking and, therefore, cannot be configured in the FAMDE to achieve quality results.	Allowed
GetCase	Used to request information about a case including the case participants, court docket, and calendar events, and to verify a filer provided case number.	Required
GetDocument	Used to request a specific document for a case.	Allowed

Although the operation NotifyReviewFilingComplete is preferred, notification via e-mail is required. E-mail notification must include the following data items:

Filing Date: MM/DD/YYYY HH:MM:SS AM/PM

Submission ID: nnnn

Court ID: nnnn

Case Number: alphanumeric¹

Filed By: Registered filer name, full address, phone, e-mail address

Authorizing Attorney: Bar number, (Bar association code or name), e-mail address

Document(s) Filed: Title: x / Type: [Alpha Document Type] example Motion To Quash

Document Status: Accepted/Deficient

¹ Some courts combine the court location and case number (e.g., P1300CV2020001234).

Clerk of Court Address: full address
eFiling Support Phone: nnn-nnn-nnnn
Clerk of Court Web Site: full URL

Filing Review MDE

The Filing Review MDE (FRMDE) is a Webservice designed to receive and orchestrate the electronic filing of case data and court documents. To accomplish this, it will accept well-formed and valid ReviewFilingRequest XML messages transmitted by an AZ AOC ITD-authorized FAMDE containing submitter uploaded documents related to the Court Filing.

Depending on the type of implementation, the Filing Review MDE can support initial and subsequent submissions for any supported case type, such as CV (Civil) and Appellate. Some court and case type specific implementations are intentionally limited to initial (e.g., Forcible Detainer case type) or subsequent submission support, but not both initial and subsequent submission support.

Arizona's version of the FRMDE uses direct embedding of documents within the XML, in Base64 encoding. Documents may not be split into multiple parts intended for subsequent reassembly, and must be provided whole and complete. Documents may not be provided as ECF document attachments (e.g. using MIME (Multipurpose Internet Mail Extensions) or SOAP DIME (Direct Internet Message Encapsulation) protocols).

The Filing Review MDE Webservice will only accept documents provided in Base64 encoding, and included within the ReviewFilingRequest XML, within nc:BinaryBase64Object elements. The maximum size for any individual document may vary by court and jurisdiction. At present, the maximum single document size for the Arizona Supreme Court and Court of Appeals is 16MB. The maximum document size for all other courts is 10MB. Regardless of court and jurisdiction, the maximum size for all documents included within a single eFiling is 100MB.

Filing Review MDE Operations

Operation Name	Operation Purpose	AZ Disposition
ReviewFiling	Used by the FAMDE to submit a ReviewFilingRequest eFiling for review by the intended court. This operation is invoked when the eFiler has concluded the Filing Assembly function, and all applicable fees (if any) have been paid.	Required

Operation Name	Operation Purpose	AZ Disposition
GetPolicy	Used to obtain the machine readable “Court Policy” describing the features supported by this implementation, the court’s code lists, and any other information a Filing Assembly MDE would need to know in order to electronically file successfully into that court.	Allowed Policy information may be requested by FAMDEs. At present, no FAMDE makes any GetPolicy request from any CRMDE.
GetCase	Returns information about the case including the case participants, court docket, and calendar events.	Required
NotifyDocketingComplete	Indicates to the Filing Review MDE (Electronic Filing Manager or EFM) whether the filing was accepted or rejected by the court record system, and if docketing has been completed and was successful.	Required
GetFilingList	Returns a list of filings that match specified criteria such as efiler ID, case number, or filing date.	Disallowed
GetFilingStatus	Returns the status for a specified submission.	Disallowed
GetFeesCalculation	Returns the filing fees applicable to a submission and a required list of the included charges (amount and type).	Allowed

The development and implementation of all the above methods will be revisited and expanded as the need arises.

In ECF 4.01, the Clerk Review function lies within the Filing Review MDE. In Arizona, the FRMDE is logically divided into the Electronic Filing Manager (EFM) and Clerk Review. The EFM receives a submission as a Filing Review Request (RvFR) directly from the FAMDE.

Some Courts in Arizona provide an actual human clerk review function wherein the submission is manually inspected, possibly corrected or augmented, and an acceptance or rejection determination made. Other courts have chosen to implement an ‘automatic’ clerk review function wherein the submission is automatically provided an acceptance determination.

Furthermore, when a manual clerk review function is performed, this operation may be provided external to the court’s Case Management System or may be provided as an integrated function within the court’s Case Management System. When the clerk review function is

provided within the court's Case management System, the formal ECF 4.01 RecordFiling operation may not be provided.

Court Record MDE

The Court Record MDE (CRMDE) enables the court to record electronic documents and docket entries in its case management system and document management system. The Court Record MDE does not directly provide case and document information electronically to E-filing vendors and their users. Instead, the Arizona AOC has provided a proxy service for these functions.

Court Record MDE Operations

Operation Name	Operation Purpose	AZ Disposition
RecordFiling	Performs necessary business functions in the courts' case and document management systems such as docketing and registering documents.	Optional
GetCaseList	Queries and returns a listing of cases that satisfy specified criteria such as case number, case participant, etc.	Disallowed
GetServiceInformation	Queries and returns service information for all case parties and participants in a case.	Disallowed

The development and implementation of all the above methods will be revisited and expanded as the need arises.

Court Record MDE Proxy Operations

The following operations, normally provided by the Court Record MDE, are instead provided by an AOC provided proxy service:

Operation Name	Operation Purpose	AZ Disposition
GetCase	Returns information about a case including the case participants, court docket, and calendar events.	Required
GetDocument	Provides a specific document filed in a case. Court restricted and sealed documents are not provided.	Required

Legal Service MDE

According to the OASIS LegalXML ECF specification, the Legal Service MDE operation enables a party to receive secondary service electronically from other parties in a case.

Arizona employs a Service MDE that is an offshoot of the ECF Legal Service MDE. As such, the ECF Legal Service MDE, as defined in the ECF 4.01 specification, is disallowed in Arizona. As such, it is prohibited at this time to allow vendors to develop their own approaches in Arizona.

The court is not in the business of primary service. At present, Arizona provides support for a non-Legal Service XML ECF conformant electronic service implementation, which is based on the electronic mailing of secondary service. Arizona does not provide e-Service support for primary service. The table that follows reflects the OASIS LegalXML ECF Service MDE operation.

Service MDE Operations

Operation Name	Operation Purpose	AZ Disposition
ServeFiling	Serves the filing to other parties in a case.	Disallowed ²

Service Interaction Profiles

SIP Name	SIP Purpose	AZ Disposition
Web Services Profile	Defines a transmission system based on web services utilizing SOAP 1.1 over HTTP 1.1.	Required – must be used between the FAMDE and the FRMDE EFM. May optionally be required when communicating between other MDEs.

² Since Arizona does not support the ECF Legal Services MDE, and instead provides a secondary service alternative that is an offshoot of the ECF LS MDE, then the LS MDE ServeFiling operation is not supported and is disallowed.

SIP Name	SIP Purpose	AZ Disposition
Portable Media Profile	Defines a transmission system which utilizes portable media (e.g., CD, DVD, USB drive, etc.) to deliver the filing in electronic format to the court apart from any network connection. This SIP is intended for supplemental use only.	Disallowed
IBM MQ Profile	Defines a transmission system utilizing IBM Websphere MQ. This profile is chiefly used for communication between MDEs within the Courts' internal networks. IBM MQ is the Arizona Judicial Branch Enterprise Architecture Standard for Message Transport.	Allowed.

Document Signature Profiles

Signature Profile Name	Signature Profile Purpose	AZ Disposition
Null Signature	Indicates the absence of a document signature.	Required
XML Document Signature	Defines a digital signature encoded in W3C XML Signature Syntax.	Disallowed
Application-Specific Document Signature	Permits applications to use innate methods for signing documents. This specification defines a mechanism for embedding an application specific binary signature within a document. This profile supports the native capabilities in document formats such as Microsoft Word and the Adobe Portable Document Format (PDF) for describing and embedding signatures.	Disallowed
Proxy Document Signature	This specification defines a mechanism for indicating documents that are digitally signed by a court filing infrastructure component on behalf of an authenticated filer. An example could be a server that exposes its asymmetric key and digital certificate to authenticated users for signing documents.	Disallowed

Signature Profile Name	Signature Profile Purpose	AZ Disposition
Symmetric Key Document Signature	This specification defines a mechanism for indicating documents that are digitally signed by a trusted entity on behalf of the signer using a symmetric key known only to the trusted entity.	Disallowed

Messages and Schemas

OASIS ECF 4.01 permits court-specific and case-type-specific extensions and provides normative guidance through the NIEM document ‘Techniques for Building and Extending NIEM XML Components’. The primary extension technique is the use of element substitution.

Arizona has chosen to provide all XML extensions within a single extension schema which is NIEM extension schema conformant (e.g., as AOC.Extension.eFiling.2.2.xsd). The Arizona AOC provides the AOC extension schema and all other schema in the AOC eFiling SDK.

Case Type Schema	AZ Disposition
ECF-4.0-AppellateCase.xsd	Allowed
ECF-4.0-BankruptcyCase.xsd	Disallowed
ECF-4.0-CitationCase.xsd	Disallowed
ECF-4.0-CivilCase.xsd	Allowed
ECF-4.0-CriminalCase.xsd	Disallowed
ECF-4.0-DomesticCase.xsd	Disallowed
ECF4.0-JuvenileCase.xsd	Disallowed
Common Schema	AZ Disposition
Datatypes.xsd	Required
ECF-3.0_Null_Signature_Profile_1.0.xsd	Required
ECF-4.0-AppInfo.zsd	Required
ECF-4.0-CommonTypes.xsd	Required
Genericcode.xsd	Required
Xml.xsd	Required
Xmlsig-core-schema.xsd	Required

XMLSchema.xsd	Required
NIEM Constraint Schema	AZ Disposition
ANSI_d20	Required
ANSI-NIST.xsd	Required
Appinfo.xsd	Required
Jxdm.xsd	Required
Screening.xsd	Allowed
FBI.xsd	Required
FIPS_6-4.xsd	Required
FIPS_10-4.xsd	Required
ISO_639-3.xsd	Required
ISO_4217.xsd	Required
NIEM-core.xsd	Required
Nonauthoritative-code.xsd	Required
Xsd.xsd	Required
Structures.xsd	Required
Unece_rec20-misc.xsd	Required
USPS_states.xsd	Required
Exchange Schema	AZ Disposition
AOC.eFiling.ecf.exchange.2.2.xsd	Disallowed
GetCaseList-MessageExchange.xsd	Disallowed
GetCase-MessageExchange.xsd	Required
GetDocument-MessageExchange.xsd	Required
GetFeesCalculation-MessageExchange.xsd	Allowed
GetServiceInformation-MessageExchange.xsd	Disallowed
NotifyDocketingComplete-MessageExchange.xsd	Required
NotifyFilingReviewComplete-MessageExchange.xsd	Required
RecordFiling-MessageExchange.xsd	Allowed

ReviewFiling-MessageExchange.xsd	Required
AOC Extension Schema	AZ Disposition
AOC.Extension.eFiling.2.2.xsd	Required
Message Schema	AZ Disposition
ECF-4.0-CaseListQueryMessage.xsd	Disallowed
ECF-4.0-CaseListResponseMessage.xsd	Disallowed
ECF-4.0-CaseQueryMessage.xsd	Required
ECF-4.0-CaseResponseMessage.xsd	Required
ECF-4.0-CoreFilingMessage.xsd	Required
ECF-4.0-CourtPolicyQueryMessage.xsd	Allowed
ECF-4.0-CourtPolicyResponseMessage.xsd	Allowed
ECF-4.0-DocumentQueryMessage.xsd	Required
ECF-4.0-DocumentResponseMessage.xsd	Required
ECF-4.0-FeesCalculationQueryMessage.xsd	Allowed
ECF-4.0-FeesCalculationResponseMessage.xsd	Allowed
ECF-4.0-FilingListQueryMessage.xsd	Disallowed
ECF-4.0-FilingListResponseMessage.xsd	Disallowed
ECF-4.0-FilingStatusQueryMessage.xsd	Disallowed
ECF-4.0-FilingStatusResponseMessage.xsd	Disallowed
ECF-4.0-MessageReceiptMessage.xsd	Required
ECF-4.0-PaymentMessage.xsd	Required
ECF-4.0-PaymentReceiptMessage.xsd	Required
ECF-4.0-RecordDocketingCallbackMessage.xsd	Allowed
ECF-4.0-RecordDocketingMessage.xsd	Allowed
ECF-4.0-ReviewFilingCallbackMessage.xsd	Required
ECF-4.0-ServiceInformationQueryMessage.xsd	Disallowed
ECF-4.0-ServiceInformationResponseMessage.xsd	Disallowed
ECF-4.0-ServiceReceiptMessage.xsd	Disallowed

OASIS UBL Schema	AZ Disposition
CCTS_CCT_SchemaModule-2.2.xsd	Required
UBL-CommonAggregateComponents-2.1.xsd	Required
UBL-CommonBasicComponents-2.1.xsd	Required
UBL-CommonExtensionComponents-2.1.xsd	Disallowed
UBL-CommonSignatureComponents-2.1.xsd	Disallowed
UBL-CoreComponentParameters-2.1.xsd	Disallowed
UBL-ExtensionContentDataType-2.2.xsd	Disallowed
UBL-QualifiedDataTypes-2.1.xsd	Required
UBL-SignatureAggregateComponents-2.1.xsd	Disallowed
UBL-SignatureBasicComponents-2.1.xsd	Disallowed
UBL-UnqualifiedDataTypes-2.1.xsd	Required
UBL-XAdESv132-2.1.xsd	Disallowed
UBL-XAdESv141-2.1.xsd	Disallowed
UBL-mxldsig-core-schema-2.1.xsd	Disallowed
UBL-ApplicationResponse-2.1.xsd	Disallowed
UBL-AttachedDocument-2.1.xsd	Disallowed
UBL-AwardedNotifications-2.1.xsd	Disallowed
UBL-BillOfLading-2.1.xsd	Disallowed
UBL-CallForTenders-2.1.xsd	Disallowed
UBL-Catalogue-2.1.xsd	Disallowed
UBL-CatalogueDeletion-2.1.xsd	Disallowed
UBL-CatalogueItemSpecificationUpdate-2.1.xsd	Disallowed
UBL-CataloguePricingUpdate-2.1.xsd	Disallowed
UBL-CatalogueRequest-2.1.xsd	Disallowed
UBL-CertificateOfOrigin-2.1.xsd	Disallowed
UBL-ContractAwardNotice-2.1.xsd	Disallowed
UBL-ContractNotice-2.1.xsd	Disallowed

UBL-CreditNote-2.1.xsd	Disallowed
UBL-DebitNote-2.1.xsd	Disallowed
UBL-DispatchAdvice-2.1.xsd	Disallowed
UBL-DocumentStatus-2.1.xsd	Disallowed
UBL-DocumentStatusRequest-2.1.xsd	Disallowed
UBL-ExceptionCriteria-2.1.xsd	Disallowed
UBL-ExceptionNotification-2.1.xsd	Disallowed
UBL-Forecast-2.1.xsd	Disallowed
UBL-ForecastRevision-2.1.xsd	Disallowed
UBL-ForwardingInstructions-2.1.xsd	Disallowed
UBL-FreightInvoice-2.1.xsd	Disallowed
UBL-GoodsItemItinerary-2.1.xsd	Disallowed
UBL-GuaranteeCertificate-2.1.xsd	Disallowed
UBL-InstructionsForReturns-2.1.xsd	Disallowed
UBL-InventoryReport-2.1.xsd	Disallowed
UBL-Invoice-2.1.xsd	Disallowed
UBL-ItemInformationRequest-2.1.xsd	Disallowed
UBL-Order-2.1.xsd	Disallowed
UBL-OrderCancellation-2.1.xsd	Disallowed
UBL-OrderChange-2.1.xsd	Disallowed
UBL-OrderResponse-2.1.xsd	Disallowed
UBL-OrderResponseSimple-2.1.xsd	Disallowed
UBL-PackingList-2.1.xsd	Disallowed
UBL-PriorInformationNotice-2.1.xsd	Disallowed
UBL-ProductActivity-2.1.xsd	Disallowed
UBL-Quotation-2.1.xsd	Disallowed
UBL-ReceiptAdvice-2.1.xsd	Disallowed
UBL-Reminder-2.1.xsd	Disallowed

UBL-RemittanceAdvice-2.1.xsd	Disallowed
UBL-RequestForQuotation-2.1.xsd	Disallowed
UBL-RetailEvent-2.1.xsd	Disallowed
UBL-SelfBilledCreditNote-2.1.xsd	Disallowed
UBL-SelfBilledInvoice-2.1.xsd	Disallowed
UBL-Statement-2.1.xsd	Disallowed
UBL-StockAvailabilityReport-2.1.xsd	Disallowed
UBL-Tender-2.1.xsd	Disallowed
UBL-TenderQualification-2.1.xsd	Disallowed
UBL-TenderQualificationResponse-2.1.xsd	Disallowed
UBL-TenderReceipt-2.1.xsd	Disallowed
UBL-TradelItemLocationProfile-2.1.xsd	Disallowed
UBL-TransportationStatus-2.1.xsd	Disallowed
UBL-TransporationStatusRequest-2.1.xsd	Disallowed
UBL-TransportExecutionPlan-2.1.xsd	Disallowed
UBL-TransportExecutionPlanRequest-2.1.xsd	Disallowed
UBL-TransportProgressStatus-2.1.xsd	Disallowed
UBL-TransportProgressStatusRequest-2.1.xsd	Disallowed
UBL-TransportServiceDescription-2.1.xsd	Disallowed
UBL-TransportServiceDescriptionRequest-2.1.xsd	Disallowed
UBL-UnawardedNotification-2.1.xsd	Disallowed
UBL-UtilityStatment-2.1.xsd	Disallowed
UBL-Waybill-2.1.xsd	Disallowed

Code Lists

Values provided for some elements are constrained and limited only to valid values defined in some established domain of values (e.g. a 'code list').

There are a variety of methods by which code lists (e.g., enumerated values) are provided:

- XML schema may be used to define a set of valid values for an element. A code list established in XML schema is enforced by a schema validating XML parser. NIEM provided code lists are established in XML schema.
- OASIS provides a Genericcode standard for codes lists, designed to support interchange or distribution of machine-readable code list information. All ECF 4.01 code lists that are not defined in NIEM are provided in Genericcode 1.0 format. Genericcode lists are not provided in XML schema, and instead are provided in separate XML artifacts. As such, Genericcode lists are not enforced by XML schema validating parsers.
- Some code lists are defined in Arizona AOC XML Specification documents. Specification defined code lists are not enforced by XML schema validating parsers.
- Some code lists may be defined as a set of values established and maintained as 'Court Policy' data. Court Policy code lists are not enforced by XML schema validating parsers.
- Finally, some code lists may be provided in separate artifacts such as Error Code lists, court codes lists, etc. These external artifacts may be Excel spreadsheets, database tables, text files, etc. External artifact code lists are not enforced by XML schema validating parsers.

Element	Filename	Code List Type	AZ Disposition
ECF Normative Code Lists			
Common Types			
FilingStatusCode	ECF-4.0-FilingStatusCode.gc	Genericcode	Not Used
	AZ Specification	AOC-Spec	Required
Court Policy Response			
MajorDesignElementNameCode	ECF-4.0-CourtPolicyResponseMessage.xsd	Schema	Required
OperationNameCode	ECF-4.0-CourtPolicyResponseMessage.xsd	Schema	Required
Service Receipt			
ServiceStatusCode	ECF-4.0-ServiceStatusCode.gc	Genericcode	Allowed
NIEM Code Lists			
ChargeNCICCode	FBI.xsd	Schema	Not Used
DocumentLanguageCode	ISO_639-3.xsd	Schema	Required
DriverLicenseCommercialClassCode	ANSI_d20.xsd	Schema	Not Used

DrivingIncidentHazMatCode	ANSI_d20.xsd	Schema	Not Used
DrivingJurisdictionAuthorityNCICLSTACode	FBI.xsd	Schema	Required
DrivingRestrictionCode	ANSI_d20.xsd	Schema	Not Used
FingerPositionCode	ANSI-NIST.xsd	Schema	Not Used
IdentificationJurisdictionNCICLISCode	FBI.xsd	Schema	Not Used
LanguageCode	ISO_639-3.xsd	Schema	Required
LengthUnitCode	Unece_rec20-misc.xsd	Schema	Not Used
LocationCountryFIPS10-4Code	FIPS_10-4.xsd	Schema	Required
LocationCountyCode	FIPS_6-4.xsd	Schema	Not Used
LocationStateUSPostalServiceCode	USPS_states.xsd	Schema	Required
PersonCitizenshipFIPS10-4Code	FIPS_10-4.xsd	Schema	Required
PersonEthnicityCode	FBI.xsd	Schema	Not Used
PersonEyeColorCode	FBI.xsd	Schema	Required
PersonHairColorCode	FBI.xsd + AOC.Extension.eFiling.2.2.xsd	Schema	Required
PersonRaceCode	FBI.xsd	Schema	Required
PersonSexCode	FBI.xsd	Schema	Required
PersonUnionCategoryCode	Nonauthoritative-code.xsd	Schema	Required
PhysicalFeatureCategoryCode	FBI.xsd	Schema	Not Used
VehicleColorPrimaryCode	FBI.xsd	Schema	Allowed
VehicleMakeCode	FBI.xsd	Schema	Allowed
VehicleModelCode	FBI.xsd	Schema	Allowed
VehicleStyleCode	FBI.xsd	Schema	Allowed
WarrantExtradictionLimitationCode	FBI.xsd	Schema	Not Used
WeightUnitCode	Unece_rec20-misc.xsd	Schema	Not Used
Arizona Specific Code Lists			
All Case Types			
aoc:CaseGeneralCategoryText	AZ Specification	Policy	Required
nc:CaseCategoryText	AZ Specification	Policy	Required
aoc:CaseSubCategoryText	AZ Specification	Policy	Required
Civil Case Type specific			
FiduciaryTypeCode	ECF-4.0-FiduciaryTypeCode.gc	Genericcode	Not Used
JurisdictionGroundsCode			Not Used
ReliefTypeCode	AZ Specification	AOC-Spec	Required

.../ j:CaseAugmentation/ aoc:CaseCourtEvent/ nc:ActivityStatus/ nc:StatusText	AZ Specification	AOC-Spec	Required
nc:ObligationCategoryText	AZ Specification	AOC-Spec	Required
Common Types			
nc:PersonNamePrefixText	AZ Specification	AOC-Spec	Allowed
nc:PersonNameSuffixText	AZ Specification	AOC-Spec	Allowed
aoc:OrganizationCategoryText	AZ Specification	AOC-Spec	Required
ecf:GuardianAssociationTypeCode	AZ Specification	AOC-Spec	Required
nc:FamilyKinshipCode	AZ Specification	AOC Spec	Required
nc:FamilyKinshipText	AZ Specification	AOC Spec	Required
aoc:CaseParticipant/ ecf:EntityPerson/ nc:PersonCapability/ nc:CapabilityDescriptionText	AZ Specification	AOC-Spec	Required
ecf:CaseParticipantRoleCode	AZ Specification	Policy	Required
ecf:OrganizationAssociation/ ecf:EntityAssociationTypeCode	AZ Specification	AOC-Spec	Required
ecf:PersonAssociation/ ecf:EntityAssociationTypeCode	AZ Specification	AOC-Spec	Required
ecf:PersonOrganizationAssociation/ ecf:EntityAssociationTypeCode	AZ Specification	AOC-Spec	Required
Document Common Types			
nc:BinaryDescriptionText	AZ Specification	AOC-Spec	Required
aoc:DocumentCategoryID	AZ Specification	Policy	Required
nc:ActivityDescriptionText	AZ Specification	AOC-Spec	Required
Core Filing Message			
.../ nc:DocumentSubmitter/ ecf:EntityPerson/ nc:PersonCapability/ nc:CapabilityDescriptionText	AZ Specification	AOC-Spec	Required
.../ aoc:ActivityRequest/ nc:ActivityStatus/ nc:ActivityDescriptionText	AZ Specification	AOC-Spec	Required
.../ aoc:ActivityRequest/ nc:ActivityStatus/ nc:StatusText	AZ Specification	AOC-Spec	Required
aoc:QualityCommentText	AZ Specification	AOC-Spec	Required
Protection Order Request Types			
aoc:AddressTypeCode	AZ Specification	AOC-Spec	Required
aoc:POOtherProtectedPartyRelationship	AZ Specification	AOC-Spec	Required
aoc:PODefendantPlaintiffRelationshipCode	AZ Specification	AOC-Spec	Required
Case Augmentation			

j:CaseAugmentation/ aoc:CaseCourtEvent/ j:CourtEventSchedule/ nc:ScheduleActivityText	AZ Specification	AOC-Spec	Required
j:CaseAugmentation/ aoc:CaseCourtEvent/ aoc:ActivityCategoryText	AZ Specification	AOC-Spec	Allowed
j:CaseAugmentation/ j:CaseJudge/ j:CaseOfficialRoleText	AZ Specification	AOC-Spec	Required
ecf:AliasAlternativeNameTypeCode	AZ Specification	AOC-Spec	Required
aoc:CaseAugmentation/ ecf:CaseOfficial/ j:CaseOfficialRoleText	AZ Specification	AOC-Spec	Required
PaymentMessage			
payment:FeeExceptionReasonCode	AZ Specification	AOC-Spec	Required
payment:FeeExceptionSupportingText	AZ Specification	AOC-Spec	Required
NotifyDocketingComplete and NotifyFilingReviewComplete			
.../ nc:DocumentStatus/ nc:StatusText	AZ Specification	AOC Spec	Required
.../ nc:DocumentStatus/ nc:StatusDescriptionText	AZ Specification	AOC Spec	Required
.../ ecf:FilingStatus/ nc:StatusText	AZ Specification	ErrorCodes	Required
nc:DocumentStatus/ nc:StatusText	AZ Specification	ErrorCodes	Required
nc:DocumentStatus/ nc:StatusDescriptionText	AZ Specification	AOC Spec	Required

Code List Type Key:

Schema	Code values are provided within schema and enforced upon schema validation.
Genericcode	Code values in are provided in a separate 'gc' file; not validated by schema.
AOC-Spec	Code values listed in specified in AOC Specification documents; not schema validated.
Policy	Code values prescribed in Court Policy; not schema validated.
ErrorCodes	Code values prescribed in separate file or documentation; not schema validated.

Code List AZ Disposition Key:

Required	When the element is used to provide a value, then the code list must be used.
Allowed	Use of code list is optional or suggested.
Disallowed	Code list must not be used for this element.
Not Used	Element and/or Code list not used by AZ.

Change Process

Notice of intention to implement any function beyond that mandated in this document must be addressed to the Technical Advisory Council of the Commission on Technology. Revisions to this document will be approved by TAC prior to publication.

Document Revision History

Date	Rev	Nature of Revision	Author
	1.0	Original	
02-26-2021	2.0	Substantial revisions to update this document to current standards. Completed 'Messages and Schema' and 'Code List' sections not provided in Rev. 1.0	Gary Graham Jim Price